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PTO/SB/97 (08-00)

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Application Number:

Filing Date: 8/10/2005

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1. Fax Transmittal
2. Fee Transmittal
3. Of-Record Attorney Designation Form
4. Declaration & Power of Attorney
5. Filing Receipt

MS1-485USC2

Total Pages: 10

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PTO/SB/17 (12-04)

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Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).**FEE TRANSMITTAL**  
**For FY 2005**☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 0.00**Complete if Known**

Application Number	09/539231
Filing Date	8/10/2005
First Named Inventor	Giampiero M. Sierra
Examiner Name	
Art Unit	2173
Attorney Docket No.	MS1 485USC2

**METHOD OF PAYMENT** (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_

☒ Deposit Account Deposit Account Number: 12-0769 Deposit Account Name: Lee & Hayes, PLLC

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

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☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

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**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

**2. EXCESS CLAIM FEES**

Fee Description	Small Entity Fee (\$)	
	Fee (\$)	Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

**Total Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**      **Multiple Dependent Claims**

- 20 or HP = \_\_\_\_\_ x 50 = \_\_\_\_\_      **Fee (\$)**      **Fee Paid (\$)**

HP = highest number of total claims paid for, if greater than 20

**Indep. Claims**      **Extra Claims**      **Fee (\$)**      **Fee Paid (\$)**

- 3 or HP = \_\_\_\_\_ x 200 = \_\_\_\_\_

HP = highest number of independent claims paid for, if greater than 3

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

**Total Sheets**      **Extra Sheets**      **Number of each additional 50 or fraction thereof**      **Fee (\$)**      **Fee Paid (\$)**

- 100 = \_\_\_\_\_ / 50 = \_\_\_\_\_ (round up to a whole number) x \_\_\_\_\_ = \_\_\_\_\_

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other: Of-Record Attorney Designation Form

**Fees Paid (\$)**

0.00

**SUBMITTED BY:**

Signature	<i>Daniel L. Hayes</i>	Registration No. (Attorney/Agent)	34,618	Telephone	(609) 324-9256
Name (Print/Type)	Daniel L. Hayes	Date	9/8/05		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No. ....  
Filing Date ..... 8/10/2005  
Confirmation No. .... 4756  
Inventorship ..... Giampiero M. Sierra  
Applicant ..... Microsoft Corporation  
Group Art Unit .....  
Examiner ..... 2173  
Attorney's Docket No. .... MS1-485USC2  
Title: Methods and Arrangements for Providing a Mark-Up Language Based  
Graphical User Interface For User Identification to an Operating System

**OF-RECORD ATTORNEY DESIGNATION UNDER 37 CFR 1.32(c)(3)**

The accompanying Declaration contains a power of attorney listing more than 10 practitioners. In accordance with 37 CFR 1.32(c)(3), the following 10 or fewer practitioners, all listed in the power of attorney, are to be recognized by the Office as being of record in the above-referenced patent application.

Lewis C. Lee, Reg. No. 34,656; Daniel L. Hayes, Reg. No. 34,618; Allan T. Sponseller, Reg. 38, 318; Steven R. Sponseller, Reg. No. 39,384; Lance R. Sadler, Reg. No. 38,605; David A. Morasch, Reg. No. 42,905; Kasey C. Christie, Reg. No. 40,559; Brian G. Hart, Reg. No. 44, 421.

Respectfully Submitted,

Date: 9/8/05By: Daniel L. Hayes  
Reg. No. 34618

0803665

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SEP 09 2005

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventorship.....Sierra et al.  
Applicant.....Microsoft Corporation  
Attorney's Docket No. ....MS1-485US  
Title: Methods And Arrangements For Providing A Mark-Up Language Based  
Graphical User Interface For User Identification To An Operating System

**DECLARATION FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to  
my name.

I believe I am the original, first and sole inventor (if only one name is listed  
below) or an original, first and joint inventor (if plural names are listed below) of the  
subject matter which is claimed and for which a patent is sought on the invention  
entitled "Methods And Arrangements For Providing A Mark-Up Language Based  
Graphical User Interface For User Identification To An Operating System," the  
specification of which is attached hereto.

I have reviewed and understand the content of the above-identified  
specification, including the claims.

I hereby claim benefit under 35 U.S.C. 119(e) of United States Provisional  
Application \_\_/\_\_\_\_\_, filed December 15, 1999 (Applicant's Docket Number  
149399.1, entitled "Web-Based User Interface For User Identification To The  
Operating System").

I acknowledge the duty to disclose information which is material to the  
examination of this application in accordance with Title 37, Code of Federal  
Regulations, § 1.56(a).

1 PRIOR FOREIGN APPLICATIONS: no applications for foreign patents or  
2 inventor's certificates have been filed prior to the date of execution of this  
3 declaration.

4 **Power of Attorney.**

5 I appoint the following attorneys to prosecute this application and transact all  
6 future business in the Patent and Trademark Office connected with this application:  
7 Lewis C. Lee, Reg. No. 34,656; Daniel L. Hayes, Reg. No. 34,618; Allan T.  
8 Sponseller, Reg. 38,318; Steven R. Sponseller, Reg. No. 39,384; James R.  
9 Banowsky, Reg. No. 37,773; Lance R. Sadler, Reg. No. 38,605; Michael A. Proksch,  
10 Reg. No. 43,021; Thomas A. Jolly, Reg. No. 39,241; David A. Morasch, Reg. No.  
11 42,905; Kasey C. Christie, Reg. No. 40,559; Katie E. Sako, Reg. No. 32,628 and  
12 Daniel D. Crouse, Reg. No. 32,022.

13 Send correspondence to: LEE & HAYES, PLLC, 421 W. Riverside Avenue,  
14 Suite 500, Spokane, Washington, 99201. Direct telephone calls to: Thomas A. Jolly  
15 (509) 324-9256.

16  
17 All statements made herein of my own knowledge are true and that all  
18 statements made on information and belief are believed to be true; and further that  
19 these statements were made with the knowledge that willful false statements and the  
20 like so made are punishable by fine or imprisonment, or both, under Section 1001 of  
21 Title 18 of the United States Code and that such willful false statement may  
22 jeopardize the validity of the application or any patent issued therefrom.

\*\*\*\*\*

Full name of inventor:

Giampiero M. Sierra

Inventor's Signature

Date: 3/28/00

Residence:

Seattle, WA

Citizenship:

USA

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2815 Boylston Ave E., Apt. 406  
Seattle, WA 98012

\*\*\*\*\*

Full name of inventor:

Christopher A. Evans

Inventor's Signature

Date: 3/28/00

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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
11/200,584	08/10/2005	2173	1000	MS1-0485USC2	3	15	3

CONFIRMATION NO. 4756

22801

LEE & HAYES PLLC  
421 W RIVERSIDE AVENUE SUITE 500  
SPOKANE, WA 99201

## FILING RECEIPT



\*OC000000016889483\*

Date Mailed: 08/29/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)  
Giampiero M. Sierra, Seattle, WA;  
Christopher A. Evans, Sammamish, WA;

## Assignment For Published Patent Application

Microsoft Corporation, Redmond, WA

Power of Attorney: None

## Domestic Priority data as claimed by applicant

This application is a CON of 09/539,231 03/30/2000  
which claims benefit of 60/170,955 12/15/1999

## Foreign Applications

If Required, Foreign Filing License Granted: 08/29/2005

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US11/200,584**.

Projected Publication Date: 12/08/2005

Non-Publication Request: No

Early Publication Request: No

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**Title**

Methods and arrangements for providing a mark-up language based graphical user interface for user identification to an operating system

**Preliminary Class**

715

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce Initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted



under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**Revised Power of Attorney Practice - 37 CFR 1.32**  
**(Applies to powers of attorney filed on or after June 25, 2004)**

As a result of a revision of the patent rules relating to powers of attorney, a power of attorney filed on or after June 25, 2004 must either appoint:

- a) One or more joint inventors; OR
- b) Those registered practitioners associated with a Customer Number; OR
- c) Ten or fewer patent practitioners, either in the power of attorney itself, or by a listing in a separate paper accompanying the power of attorney, as explained below.

See (newly established) 37 CFR 1.32(b) and (c), the text of which is as follows:

(b) A power of attorney must:

- (1) Be in writing;
- (2) Name one or more representatives in compliance with (c) of this section;
- (3) Give the representative power to act on behalf of the principal; and
- (4) Be signed by the applicant for patent (§ 1.41(b)) or the assignee of the entire interest of the applicant.

(c) A power of attorney may only name as representative:

- (1) One or more joint inventors (§ 1.45);
- (2) Those registered patent practitioners associated with a Customer Number;
- (3) Ten or fewer registered patent attorneys or registered patent agents (see § 10.6 of this subchapter) (patent practitioners). Except as provided in paragraph (c)(1) or (c)(2) of this section, the Office will not recognize more than ten patent practitioners as being of record in an application or patent. If a power of attorney names more than ten patent practitioners, such power of attorney must be accompanied by a separate paper indicating which ten patent practitioners named in the power of attorney are to be recognized by the Office as being of record in application or patent to which the power of attorney is directed.

The filing receipt reflects the power of attorney that has been entered for the application. If the power of attorney appointed more than ten patent practitioners, without reference to a Customer Number and without a separate paper indicating which ten patent practitioners named in the power of attorney are to be recognized, then no patent practitioner has been made of record.

How to take corrective action: Resubmit a copy of the power of attorney along with a separate paper indicating which (up to ten) patent practitioners named in the power of attorney are to be recognized by the Office as being of record in the application or patent to which the power of attorney is directed, or file a newly executed power of attorney in compliance with 37 CFR 1.32.

After receipt of such a submission, the patent practitioners listed on the separate paper or new power of attorney in compliance with 37 CFR 1.32 will be recognized as being of record. For additional information regarding this change in practice, see Revision of Power of Attorney and Assignment Practice, 69 Fed. Reg. 29865 (May 26, 2004); 1283 Off. Gaz. 148 (Jun. 22, 2004) and <http://www.uspto.gov/web/offices/pac/dapp/pofaqs.htm>.

August 11, 2004